



AMMIS SUR Case Tracking Manual

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1. Document Control

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1.1 Document Information Page

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1.3 Related documentation

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2. Introduction

2.1 Overview

This manual describes how to use the Alabama Surveillance and Utilization Review (SUR) Case Tracking windows and reports. It begins with how to log into the system and enter basic information needed throughout the system to create and update cases as they move through different phases of the process:

- Sign-on and SURS Case Tracking Navigation
- Entering/Updating Analyst Criteria
- Entering/Updating Consultant and Utilization Review Committee (URC) Member Information

The manual then continues with creating and entering SUR case information:

- Entering/Selecting New Provider Cases
- Entering/Selecting New Recipient Cases
- Entering New Referrals
- Updating Case Information

The manual finishes with follow-up case activities and how to generate letters and forms from the Letter Generator:

- Creating Hearing Notification Letters
- Creating SURS Case Tracking Letters

3. Subsystem Overview

3.1 Overview

The Alabama Surveillance and Utilization Review (SUR) Case Tracking function replaces many of the manual operations throughout the SUR case review process with systematic approaches. Browser-based windows replace many of the manual operations such as providing auto-assignment of case reviews and online updating of case documentation. In addition, the SUR Case Tracking function allows for the viewing of imaged incoming correspondence and photocopied medical records from on-site audits.

SUR Case Tracking provides for storage of report and spreadsheet files generated within the interChange SUR and Decision Support System (DSS) areas and can link the files to related SUR cases. All case documentation, including imaged documentation, is linked to a SUR case utilizing a unique identifier called a Master Log Number. Each SUR case has an associated electronic SUR case file, which helps in identifying the steps the SUR analyst followed while researching the SUR case.

3.2 Interface with DSS to Receive or Provide Needed Data

The SURS Case Tracking function receives data from other subsystems within the Medicaid Management Information System (MMIS). The Provider Subsystem provides information directly related to the provider such as name and address. The Recipient Subsystem provides lock-in information as well as the name of the recipient.

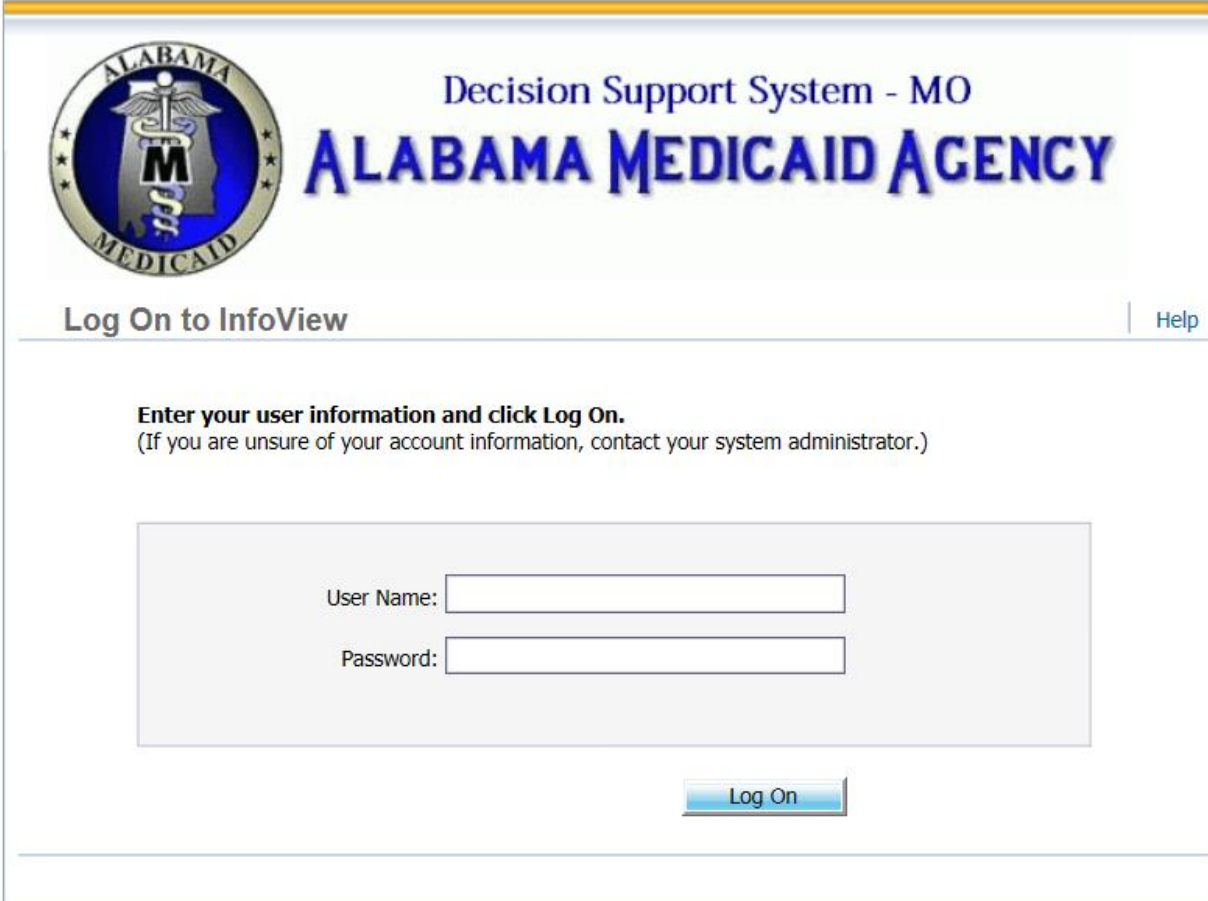
4. Sign-on and SURS Case Tracking Navigation

4.1 Overview

The SURS Case Tracking function is accessible in the same manner as the *SURSProfiler* Case Maintenance and Random Sample applications. It is a browser-based application that is available on the menus for only those users that have the SURS security clearance that includes Case Tracking. The two current levels of security within the application are SURS analyst and supervisor. The level of security clearance determines which windows can be accessed and updated. For the purpose of this manual, all functionality is shown, regardless of the security level of the user.

4.2 Sign On Window

The Sign On window is the first step in accessing any window within the SURS Case Tracking application. Access to the secure website is achieved through using the Microsoft Internet Explorer browser.



The screenshot shows the login interface for the Alabama Medicaid Agency Decision Support System - MO. At the top left is the Alabama Medicaid logo, which features a caduceus and the word 'ALABAMA' above it, with 'MEDICAID' below. To the right of the logo, the text 'Decision Support System - MO' is displayed above 'ALABAMA MEDICAID AGENCY' in a large, bold, blue font. Below this, the text 'Log On to InfoView' is shown on the left, and a 'Help' link is on the right. The main area contains the instruction 'Enter your user information and click Log On.' followed by a note in parentheses: '(If you are unsure of your account information, contact your system administrator.)'. Below this instruction are two text input fields: 'User Name:' and 'Password:'. At the bottom center is a blue 'Log On' button.

1. Launch Internet Explorer.
2. Type `http://icdss-prod.alix.slg.eds.com:20080/InfoViewApp/logon.jsp` in the navigation bar.
3. Click the **Go** button or press **Enter**.
4. Enter **User ID** into the User Name text field.
5. Enter **Password** into the Password text field.
6. Click the **Log On** button.

4.3 SURS Main Navigation and Case Tracking Navigation Window

To access the specific areas of the SUR Case Tracking application, utilize the links below the headings available on the lower left portion of the DSS home page:

Title ^	Last Run	Type	Owner
~Webintelligence		Folder	
~Webintelligence		Folder	
~Webintelligence		Folder	
Adjudicated claims by fund code FY 2016 claim out	Dec 13, 2016 9:56 AM	Web Intelligence Report	
AG paid claims query with errors	Jun 4, 2014 9:29 AM	Desktop Intelligence Report	
Billed amount last 6 months--top	Jul 29, 2015 4:07 PM	Desktop Intelligence Report	
Billed amount last 6 months--top2	Jul 29, 2015 12:00 PM	Desktop Intelligence Report	
Billing Provider Encounters (including out of state) 2	Oct 20, 2015 5:24 PM	Desktop Intelligence Report	
This report pull claims data for a specific Billing NPI. Claim 0066-3	Dec 1, 2016 4:16 PM	Web Intelligence Report	
claim test2	Feb 20, 2014 4:26 PM	Desktop Intelligence Report	
claims by cos fy 2015		Desktop Intelligence Report	
claims by cos fy 2016		Desktop Intelligence Report	

The next window shows an example of the SURS menu accessible via the Case Tracking link:

Case Tracking

- [Case Summary](#)
- [Referrals List](#)
- [Analyst List](#) *
- [Provider Case Entry](#) *
- [Recipient Case Entry](#) *
- [Consultant / URC Member List](#) *
- [Case Selection Hearing Letters](#) *

* - Denotes Supervisor Only Access.

5. Entering/Updating Analyst Criteria

5.1 Overview

The Analyst Criteria windows are used to enter or update information for each SUR analyst who works on cases.

5.2 Analyst List

The Analyst List window displays all the currently entered analysts. The window displays all the active analysts first, followed by the inactive analysts.

1. On the SURS main navigation window, click the link for **Analyst List**:



2. To update an existing analyst in the Analyst List window, select the radio button to the left of the Analyst ID and click the **Update** button.

Analyst List

Add Update Delete

	Analyst ID	Analyst Last Name	Total Number of Open Cases	All Types	Active
<input type="radio"/>	admin	BOAdmin	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	admin	BOAdmin	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

3. To add a new analyst in the Analyst List window, click the **Add** button.
4. To delete an existing analyst, select the radio button to the left of the Analyst ID and click the **Delete** button

Result: The Analyst Criteria window appears.

Analyst Criteria

Analyst ID:

Analyst Last Name:

Provider Type:

DME/Medical Supply Dealer

Dentist

EPSDT

End-Stage Renal Disease (RSD) Clinic

Extended Care Facility

Experience Level:

Recipient Case: ☐ Supervisor: ☒ Active: ☐

All Types: ☒

Load Level

% of Total Cases:

Maximum Number of Working Cases:

Total Number of Working Cases:

Total Number of Open Cases:

5.3 Analyst Criteria

The Analyst Criteria window allows the user to enter information regarding the analyst and their case load.

1. If adding a new analyst, enter the Analyst ID, which is usually the user ID of the analyst that is assigned for accessing interChange, DSS and other similar tools.
2. Add or update the following data items to be saved for the analyst:
 - Enter **Analyst Last Name**.
 - Select **Provider Types** for which the analyst may perform reviews. You may also select All Types if the analyst is not limited to performing reviews for specific provider types.
 - Select **Experience Level**, which can be Entry-Level, Moderate or Experienced.
 - Select **Recipient Case**, if analyst is allowed to perform such reviews. (Checked = Yes, Not Checked = No)
 - Select **Supervisor** (Checked = Yes, Not Checked = No, This field is used by the windows to only display supervisor IDs in drop-down menus. It does not give a user security access to the Supervisor Only windows.)
 - Select **Active** (Checked = Yes, Not Checked = No)
 - Enter **Maximum Number of Working Cases**.

NOTE:

The other fields listed under Load Level are system generated. These fields show a snapshot of how many cases this analyst has compared to the total cases in the system.

3. To save updated information, click the **Update** button. An Insert button is available when performing an Add. To save new information, click the **Insert** button. A Delete button is available when performing a Delete. To delete an analyst, click the **Delete** button.

Result: The Analyst Criteria List window appears.

Analysts List					
<input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Delete"/>					
	Analyst ID	Analyst Last Name	Total Number of Open Cases	All Types	Active
<input type="radio"/>	admin	BOAdmin	4	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	john@ph	BOAdmin	17	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	evan@ph	BOAdmin	11	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	evan@ph	BOAdmin	9	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	evan@ph	BOAdmin	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	evan@ph	BOAdmin	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="radio"/>	evan@ph	BOAdmin	7	<input type="checkbox"/>	<input checked="" type="checkbox"/>

6. Entering/Updating Consultant and URC Member Information

6.1 Overview

The Consultant and URC (Utilization Review Committee) member windows are used to enter or update information related to these entities. These windows are case sensitive, and the information is saved according to the case in which the information is keyed.

6.2 Consultants Listing

1. On the SURS main navigation window, click the hyperlink for **Consultant/URC Member List**:



2. Select **Consultant** from the drop-down list menu.

Consultant / URC Member List

	Name	Address	E-Mail	Occupation	Phone	Fax
<input type="radio"/>	Jane Smith	123 Some Street Birmingham, AL 35203-1234	jane@abc.com	Therapist	(204) 123-4567	(204) 987-6543
<input type="radio"/>	Jane Smith	123 Some Street Birmingham, AL 35203-1234	jane@def.com	Consultant	(204) 123-4567	(204) 987-6543
<input type="radio"/>	John Doe	456 Other Ave. Montgomery, AL 36102	jdoe@xyz.com	City Licensing Board Member	(204) 555-4321	

3. To update an existing consultant, select the radio button to the left of the Name field and click the **Update** button.
4. To add a new consultant, click the **Add** button
5. To delete an existing consultant, select the radio button to the left of the Name field and click the **Delete** button.

Result: The Consultant/URC Member Criteria window appears.

Consultant / URC Member Criteria

*** Required Fields**

*** Name:**

*** Address**

*** City:**

*** State:**

*** Zip Code:**

E-mail:

Occupation:

*** Phone:** - -

Fax: - -

*** Member Type:**

6.3 URC (Utilization Review Committee) Members Listing

1. On the SURS main navigation window, click the hyperlink for **Consultant/URC Member List**:



2. Select **URC** from the drop-down list menu.

Consultant / URC Member List

	Name	Address	E-Mail	Occupation	Phone	Fax
<input type="radio"/>	Wagner, William	2000 N. 1st St. Tomball, TX 77480			(281) 333-1000	(281) 333-1000

3. To update an existing URC member, select the radio button to the left of the Name field and click the **Update** button.
4. To add a new URC member, click the **Add** button.
5. To delete an existing URC member, select the radio button to the left of the Name field and click the **Delete** button.

Result: The Consultant/URC Member Criteria window appears.

Consultant / URC Member Criteria

*** Required Fields**

*** Name:**

*** Address:**

*** City:**

*** State:**

*** Zip Code:**

E-mail:

Occupation:

*** Phone:** - -

Fax: - -

*** Member Type:**

6.4 Enter Consultant/URC Member Criteria

The Consultant/URC Member Criteria window allows the user to enter contact information related to a consultant or URC member.

The screenshot shows a web form titled "Consultant / URC Member Criteria". It contains several input fields, some marked with a red asterisk to indicate they are required. The fields are: Name (with "Thomas Kennedy" entered), Address (with "1234 Main St" entered), City (with "Mobile" entered), State (with "AL" entered), Zip Code (split into two boxes with "36608" and "0000" entered), E-mail, Occupation, Phone (split into three boxes with "334", "578", and "1234" entered), Fax (split into three empty boxes), and Member Type (a dropdown menu with "URC" selected). An "INSERT" button is located at the bottom left of the form area.

1. To Insert a new consultant or URC member enter the following information in the fields provided:

- Name
- Address
- City, State, Zip Code+4
- E-mail Address
- Occupation
- Phone and Fax Numbers
- Member Type (Consultant or URC)

2. To save new information, click the **Insert** button.

Consultant / URC Member Criteria

*** Required Fields**

* Name: Thomas Kennedy

* Address: 8143 Nimitz Lane

* City: Mobile

* State: AL

* Zip Code: 36687 3654

E-mail:

Occupation:

* Phone: 334 - 777 - 3333

Fax: - -

* Member Type: URC

INSERT

3. To update an existing consultant or URC member, enter updates in any of the fields. To save updated information, click the **Update** button.

Consultant / URC Member Criteria

*** Required Fields**

* Name: Mahesh Kumar

* Address: 870 South Ave

* City: Luverne

* State: AL

* Zip Code: 36057

E-mail:

Occupation: Lpn

* Phone: 205 - 666 - 8907

Fax: 205 - 666 - 4045

* Member Type: Consultant

UPDATE

4. To delete a consultant or URC member, click the **Delete** button.

Consultant / URC Member Criteria

*** Required Fields**

* Name:

* Address:

* City:

* State:

* Zip Code:

E-mail:

Occupation:

* Phone:

Fax:

* Member Type:

Result: When an insert, update or delete is completed the Consultants /URC Member List window is displayed.

Consultant / URC Member List

	Name	Address	E-Mail	Occupation	Phone	Fax
<input type="radio"/>	David Allen	76 Fowler St. F2000			(205) 222- 0907	
<input type="radio"/>	Jessie Spedden	(1014 St Apt 2) Birmingham Alabama 35204		Neurosurgeon	(205) 222- 0907	
<input type="radio"/>	Mary Higgins	60000 Park Ave Birmingham AL 35204	Mary.Higgins@HennepinCounty.org	Chief Of Surgery	(205) 222- 0907	(205) 222- 0907
<input type="radio"/>	Patricia Walker	678 South Ave Lumberton AL 36857	P.Walker@al.net	Healthcare Administrator	(205) 222- 0907	(205) 222- 0907

7. Entering/Selecting New Provider Cases

7.1 Overview

Provider case reviews can be opened for a number of reasons. DSSProfiler reports can be produced and reviewed to identify suspicious situations needing investigation or providers that have exceptions for specific cases identified by the Medicaid Agency. These cases would be entered manually into the system. Referrals can also be received from other entities that may open provider cases.

The Provider Case Entry window is the starting point for entering provider information for potential cases.

7.2 Provider Case Entry

On the SURS main navigation window, click the hyperlink for **Provider Case Entry**:



7.2.1 Provider Case Entry (by referral)

The Provider Case Entry window allows the user to create a list of potential providers that can be assigned to the case described in the Criteria Description. The case is not actually established until the assignment request button is selected. However, prior to a case opening, the user can identify and save potential providers to the list.

Provider Case Entry

Criteria Description

Select Only One

Provider Manual Case Selection

Provider ID:

Provider Name:

Provider Case Selection List

Total Providers Selected: 0 Total Providers Not Selected: 0

Provider ID	Provider Name	Source	Master Log Number
-------------	---------------	--------	-------------------

1. Enter a description for the new list of provider cases in the **Criteria Description** field.
2. Select **Referrals**, from the **Select Only One** drop-down menu.
3. If the Referrals selection is chosen, click the **Select** button and existing provider referrals that have not been assigned cases appear in the list at the bottom of the window. Select the applicable provider or providers by using the **Select All** button or by clicking the check box next to the applicable provider.
4. At the bottom of the window, the system returns the referral providers that were selected.
5. If too many or too few are displayed, click the **Clear** button to enter new criteria.
6. When the results are satisfactory, click the **Save** button to save the selected list along with the selected criteria. This only saves a list of the providers for the description displayed. This is a potential case list.

Result: The criteria and the list of providers are saved and the user remains on Provider Case Entry window.

Provider Case Entry

Criteria Description

TEST1

Select Only One

Referrals

Provider Manual Case Selection

Provider ID:

Provider Name:

Provider Case Selection List

Total Providers Selected: 0 Total Providers Not Selected: 10

Page 1 of 2

	Provider ID	Provider Name	Source	Master Log Number
<input type="checkbox"/>	9999999999	WEST HILLS MEMORIAL	REFERRAL	
<input type="checkbox"/>	9999999999	BARTLE, SAMUEL T	REFERRAL	

7.2.2 Provider Case Entry (manual)

Manual cases may be entered to create a new list of providers or providers may be added to an existing list for cases which do not have an assigned Master Log Number.

Provider Case Entry

Criteria Description

Source

Provider Manual Case Selection

Provider ID:

Provider Name:

Provider Case Selection List

Total Providers Selected: 0 Total Providers Not Selected: 0

Provider ID	Provider Name	Source	Master Log Number
-------------	---------------	--------	-------------------

1. To enter a list of providers manually, enter a description for the new list of provider cases in the **Criteria Description** field and select **Manual** from the **Select Only One** drop-down menu.
2. Enter the Provider Number or Medicaid Provider number of the provider in the **Provider ID** field in the Provider Manual Case Selection area of the window and click the **Search** button.
3. If the system finds the number, the name of the provider is displayed in the **Provider Name** field. If not, an error message is displayed.
4. If the correct provider was entered, click the **Add** button to insert the provider into the list of potential provider cases.
5. Continue to add providers until results are satisfactory, then click the **Save** button to save the selected list along with the selected criteria.

Result: The criteria and the list of providers are saved and the user remains on the Provider Case Entry window.

Provider Case Entry

Criteria Description

Select Only One

Provider Manual Case Selection
 Provider ID:
 Provider Name:

Provider Case Selection List

 Total Providers Selected: 0 Total Providers Not Selected: 1

	Provider ID	Provider Name	Source	Master Log Number
<input type="checkbox"/>	999999999	SMITH, JOHN D	MANUAL	

7.2.3 Search for Previously Saved Case List

On the Provider Case Entry window, by entering at least a portion of the criteria description and clicking the **Search** button shown beside the Criteria Description field, users can retrieve provider case criteria and the associated list of providers:

Provider Case Entry

Criteria Description

Select Only One

Provider Manual Case Selection
 Provider ID:
 Provider Name:

Provider Case Selection List

 Total Providers Selected: 0 Total Providers Not Selected: 0

	Provider ID	Provider Name	Source	Master Log Number
--	-------------	---------------	--------	-------------------

7.2.4 Provider Case Entry (select providers for case review)

Before a Master Log Number can be assigned from the Provider Case Entry window, the user must select providers for which the system is to create cases.

NOTE:

Only click on the Assignment Request button when you are sure you want to create the cases. After this button has been clicked, the criteria and the list of selected providers cannot be modified.

1. To individually select the providers, click the check box to the left of each **Provider ID**.
2. Click the **Select All** button to select all the providers at once or click the **UnSelect All** button to deselect all the providers at once.
3. The user may click the **Save** button to save the information entered at any time.
4. When the list has been finalized, click the **Assignment Request** button to create the case. If the list and selected providers have not been saved when the Assignment Request button is clicked, the system automatically performs a save.
5. The system assigns a Master Log Number to the selected providers and creates the appropriate directory structure used by the Case File tabs on the Case Summary window.

Result: After the cases have been created, the Case Assignment Verification window appears.

<div> <input type="button" value="Approve"/> <input type="button" value="Select All"/> <input type="button" value="UnSelect All"/> </div>					
Selected Cases	Master Log Number	Analyst Name	Provider/Recipient ID	Provider/Recipient Name	Open/Active Cases
<input type="checkbox"/>	117	ROSS <input type="button" value="v"/>	9999999999	COLLEMAN, DAVID THOMAS	14
<input type="checkbox"/>	118	ROSS <input type="button" value="v"/>	9999999999	STANLEY, DAVID ALBERT	14

7.2.5 Case Assignment Verification

The Case Assignment Verification window displays all the cases that were automatically assigned by the system to SUR analysts:

Approve

Select All

UnSelect All

Selected Cases	Master Log Number	Analyst Name	Provider/Recipient ID	Provider/Recipient Name	Open/Active Cases
<input type="checkbox"/>	117	ROSS	9999999999	COURTNEY, JANE TURNER	14
<input type="checkbox"/>	118	ROSS	9999999999	COURTNEY, JANE TURNER	14

1. The system uses the analyst criteria entered through the Analyst Criteria List windows to assign the new cases to SUR analysts.
2. The user can override these assignments by changing the name of the assigned analyst in the **Analyst Name** drop-down menu.
3. After reviewing the cases and the associated analysts, the user clicks the check box next to the **Master Log Number** hyperlink.
4. Alternately, the user may click the **Select All** button to place check marks in all the boxes, or click the **UnSelect All** button to clear all the check boxes.
5. When the assignments are finalized, the user clicks the **Approve** button to assign the appropriate cases to the selected analysts.

Result: The selected analysts are assigned to the new cases. The user remains on the Case Assignment Verification window with the check boxes grayed out for any previously assigned cases.

Approve

Select All

UnSelect All

Selected Cases	Master Log Number	Analyst Name	Provider/Recipient ID	Provider/Recipient Name	Open/Active Cases
<input type="checkbox"/>	117	ROSS	9999999999	COURTNEY, JANE TURNER	14
<input type="checkbox"/>	118	ROSS	9999999999	COURTNEY, JANE TURNER	14

8. Entering/Selecting New Recipient Cases

8.1 Overview

Recipient case reviews can be opened for a number of reasons. DSSProfiler reports can be produced and reviewed to display the most aberrant users of the Medicaid system. These cases would be entered manually into the system. Referrals can also be received from other entities that may open recipient cases.

The Recipient Case Entry window is the starting point for entering recipient information for potential cases.

8.2 Recipient Case Entry

On the SURS main navigation window, click the hyperlink for **Recipient Case Entry**:



8.2.1 Recipient Case Entry (by referral)

The Recipient Case Entry window allows the user to create a list of potential recipients that can be assigned to the case described in the Search Criteria Description. The case is not actually established until the assignment request button is selected. However, prior to a case opening, the user can identify and save potential recipients to the list.

Recipient Case Entry

Search Criteria Description:

Select Only One

Recipient Manual Case Selection

Recipient ID:

Recipient Name:

Recipient Case Selection List

Total Recipients Selected: 0 Total Recipients Not Selected: 0

Recipient ID	Recipient Name	Source	Master Log Number
--------------	----------------	--------	-------------------

1. Enter a description for the new list of recipient cases in the **Search Criteria Description** field.
2. Select **Referrals** from the **Select Only One** drop-down menu.
3. If the Referrals selection is chosen, click the **Select** button and the existing referrals that have not been assigned cases appear in the list at the bottom of the window. Select the applicable recipient or recipients by using the **Select All** button or by clicking the check box next to the applicable recipient.
4. At the bottom of the window, the system returns the recipients that were selected.
5. If too many or too few results are displayed, click the **Clear** button to enter new criteria.
6. When the results are satisfactory, click the **Save** button to save the selected list along with the selected criteria. This only saves a list of the recipients for the description displayed; this is the potential case list.

Result: The criteria and the list of recipients are saved and the user remains on the Recipient Case Entry window.

Recipient Case Entry

Search Criteria Description:

Select Only One

Referrals ▾

Select

Clear

Recipient Manual Case Selection

Recipient ID:

Search

Recipient Name:

Add

Recipient Case Selection List

Select All

UnSelect All

Save

Assignment Request

Total Recipients Selected: 0

Total Recipients Not Selected: 4

	Recipient ID	Recipient Name	Source	Master Log Number
<input type="checkbox"/>	00000000000000000000000000000000	HETCHEL DICKER	REFERRAL	
<input type="checkbox"/>	00000000000000000000000000000000	HETCHEL DICKER	REFERRAL	
<input type="checkbox"/>	00000000000000000000000000000000	HETCHEL DICKER	REFERRAL	
<input type="checkbox"/>	00000000000000000000000000000000	JAMEN PICTON	REFERRAL	

8.2.2 Recipient Case Entry (manual)

Manual cases may be entered to create a new list of recipients or recipients may be added to an existing list for cases which do not have an assigned Master Log Number.

Recipient Case Entry

Search Criteria Description:

Select Only One

Recipient Manual Case Selection
 Recipient ID:
 Recipient Name:

Recipient Case Selection List

Total Recipients Selected: Total Recipients Not Selected:

Recipient ID	Recipient Name	Source	Master Log Number
--------------	----------------	--------	-------------------

1. Enter a description for the new list of recipient cases in the **Search Criteria Description** field.
2. To enter a new list of recipients for potential cases, select **Manual** from the **Select Only One** drop-down menu.
3. Enter the **Medicaid number** of the recipient in the **Recipient ID** field in the Recipient Manual Case Selection area of the window and click the **Search** button.
4. If the system finds the number, the name of the recipient is displayed in the **Recipient Name** field. If not, an error message is displayed.
5. If the correct recipient was entered, click the **Add** button to insert the recipient into the list of potential recipient cases.
6. Continue to add recipients until results are satisfactory, then click the **Save** button to save the select list along with the selected criteria.

Result: The criteria and list of recipients are saved and the user remains on the Recipient Case Entry window.

Recipient Case Entry

Search Criteria Description:

Select Only One

Manual ▾

Select

Clear

Recipient Manual Case Selection

Recipient ID:

Search

Recipient Name:

Add

Recipient Case Selection List

Select All

UnSelect All

Save

Assignment Request

Total Recipients Selected: 0

Total Recipients Not Selected: 4

	Recipient ID	Recipient Name	Source	Master Log Number
<input type="checkbox"/>	XXXXXXXXXX-XXXX	XXXXXX XXXX, XXXXX XXXX	REFERRAL	
<input type="checkbox"/>	XXXXXXXXXX-XXXX	XXXXXX XXXX, XXXXX XXXX	REFERRAL	
<input type="checkbox"/>	XXXXXXXXXX-XXXX	XXXXXX XXXX, XXXXX XXXX	REFERRAL	
<input type="checkbox"/>	XXXXXXXXXX-XXXX	XXXXXX XXXX, XXXXX XXXX	REFERRAL	

8.2.3 Search for Previously Saved Case List

By entering at least a portion of the Search Criteria Description and clicking the Search button shown beside the Search Criteria Description field, users can retrieve recipient case criteria and the associated list of recipients:

Recipient Case Entry

Search Criteria Description:

Select Only One

Recipient Manual Case Selection
 Recipient ID:
 Recipient Name:

Recipient Case Selection List

 Total Recipients Selected: 0 Total Recipients Not Selected: 1

	Recipient ID	Recipient Name	Source	Master Log Number
<input type="checkbox"/>	999999999999	GLOVER, ROBIN M	MANUAL	

8.2.4 Recipient Case Entry (select recipients for case review)

1. Before a Master Log Number can be assigned, from the Recipient Case Entry window, the user must select recipients for which the system is to create cases.

Recipient Case Entry

Search Criteria Description:

Select Only One

Recipient Manual Case Selection
 Recipient ID:
 Recipient Name:

Recipient Case Selection List

Total Recipients Selected: 1 Total Recipients Not Selected: 0

	Recipient ID	Recipient Name	Source	Master Log Number
<input checked="" type="checkbox"/>	999999999999	Excessive Migraine Diag	MANUAL	

NOTE:

Only click on the Assignment Request button when you are sure you want to create the cases. After this button has been clicked, the criteria and the list of selected recipients cannot be modified.

2. To individually select the recipients, click the check box next to the left of each **Recipient ID**.
 3. Click the **Select All** button to select all the recipients at once or click the **UnSelect All** button to deselect all the recipients at once.
 4. The user may click the **Save** button to save the information entered at any time.
 5. When the list has been finalized, click the **Assignment Request** button to create the case. If the list and selected recipients have not been saved when the Assignment Request button is clicked, the system automatically performs a save.
 6. The system assigns a Master Log Number to the selected recipients and creates the appropriate directory structure used by the Case File tabs on the Case Summary window.
- Result: After the cases have been created, the Case Assignment Verification window appears.

<input type="button" value="Approve"/> <input type="button" value="Select All"/> <input type="button" value="UnSelect All"/>					
Selected Cases	Master Log Number	Analyst Name	Provider/Recipient ID	Provider/Recipient Name	Open/Active Cases
<input type="checkbox"/>	19	KANG ▼	999999999999	XXXXXXXXXXXXXXXXXXXX	2

8.2.5 Case Assignment Verification

The Case Assignment Verification window displays all the cases that were automatically assigned by the system to SUR analysts.

<input type="button" value="Approve"/> <input type="button" value="Select All"/> <input type="button" value="UnSelect All"/>					
Selected Cases	Master Log Number	Analyst Name	Provider/Recipient ID	Provider/Recipient Name	Open/Active Cases
<input type="checkbox"/>	19	KANG ▼	999999999999	XXXXXXXXXXXXXXXXXXXX	2

1. The system uses the analyst criteria entered through the Analyst Criteria windows to assign the new cases to SUR analysts.
2. The user can override these assignments by changing the name of the assigned analyst in the **Analyst Name** drop-down menu.
3. After reviewing the cases and the associated analysts, the user clicks the check box next to the **Master Log Number** hyperlink.
4. Alternately, the user may click the **Select All** button to place check marks in all the boxes, or click the **UnSelect All** button to clear all the check boxes.
5. When the assignments are finalized, the user clicks the **Approve** button to assign the appropriate cases to the selected analysts.

Result: The selected analysts are assigned to the new cases. The user remains on the Case Assignment Verification window with the check boxes grayed out for any previously assigned cases.

<input type="button" value="Approve"/> <input type="button" value="Select All"/> <input type="button" value="UnSelect All"/>					
Selected Cases	Master Log Number	Analyst Name	Provider/Recipient ID	Provider/Recipient Name	Open/Active Cases
<input type="checkbox"/>	19	KANG ▼	999999999999	XXXXXXXXXXXXXXXXXXXX	2

9. Entering New Referrals

9.1 Overview

The Referral window is used to enter new referrals. These referrals may be received from other entities, such as complaints regarding a particular provider, or concerning recipients that are abusing the Medicaid system. The Referral window is also used to update and delete referrals. These functions are only available from the Referrals tab on the Case Summary window.

9.2 Referral Entry

The user may enter new referrals as they are received from other entities. Referrals are assigned to Master Log Number zero (0) until an official case has been created and the referral has been associated to a case. Referrals that are created but not assigned to a case are listed when creating a case using the referral drop down selection.

1. On the SURS main navigation window, click the hyperlink for **Referrals List**:



Referral Number: <input type="text"/>		Reviewer Information		From Tracking Table	
Master Log Number: <input type="text"/>		Reviewed By: <input type="text"/>		<input type="text"/>	
No Further Action Required <input type="checkbox"/> Recipient Referral <input type="checkbox"/>		Entered By: <input type="text"/>		<input type="text"/>	
Provider/Recipient Information		Entry Date: <input type="text"/>		<input type="text"/>	
First Name: <input type="text"/>		Referral Information			
Last Name: <input type="text"/>		OAC Ref Num: <input type="text"/>			
ID: <input type="text"/>		Comments: <div style="border: 1px solid black; height: 80px; width: 100%;"></div> 4000 Characters Remaining for Comments			
Address: <input type="text"/>					
City: <input type="text"/>					
State: <input type="text"/>					
Zip Code: <input type="text"/>					
Phone: <input type="text"/>					
Incoming Referral		Outgoing Referral (1)		Outgoing Referral (2)	
Received: <input type="text"/>		Referred To: <input type="text"/>		Referred To: <input type="text"/>	
Source: <input type="text"/>		Date Referred: <input type="text"/>		Date Referred: <input type="text"/>	
Anonymous: <input type="text"/>		Response Date: <input type="text"/>		Response Date: <input type="text"/>	
Referral Type: <input type="text"/>		Status: <input type="text"/>		Status: <input type="text"/>	

INSERT

2. Enter the **Provider/Recipient** and **Referral** information into the appropriate fields.
3. Click the **Insert** button to save the information.

Referral Number:

Master Log Number:

No Further Action Required ☐ Recipient Referral ☒

Provider/Recipient Information

First Name:

Last Name:

ID:

Address:

City:

State:

Zip Code:

Phone:

Reviewer Information

Reviewed By:

Entered By:

Entry Date:

Referral Information

OAC Ref Num:

Comments:

3935 Characters Remaining for Comments

Incoming Referral

Received:

Source:

Anonymous:

Referral Type:

Outgoing Referral (1)

Referred To:

Date Referred:

Response Date:

Status:

Outgoing Referral (2)

Referred To:

Date Referred:

Response Date:

Status:

Result: The referral information is saved along with an auto-generated referral number to be used to reference this information. After the insert, the Referrals tab of the Case Maintenance window appears to show the entire list of referrals that have not been assigned to a case (master log number is 0).

Case Summary | Lock-In | Contract Terminations | **Referrals** | Case File

Master Log Number:

Provider Name:

Analyst Name:

	Referral Number	Provider/Recipient ID	Provider/Recipient Name	Received	Source	Referral Type
<input type="radio"/>	1	999999999999		3/7/2007		PHONE
<input type="radio"/>	2	999999999999		3/7/2007		PHONE

The user may select a radio button for a referral and perform an update or delete. In this case the associated referral data is displayed on the Referrals List window for the user to update or delete. The user may also select the insert button to add another referral. In this case a blank Referrals List window is displayed for the user to enter referral data. From the Referrals tab shown above, the user may click on the referral number link from the 'Referral Number' column to view the related referral information. The Add, Update or Delete button must be selected from this window in order to update referral data based on the button selected.

NOTE:

The No Further Action Required checkbox for a referral indicates if a case may potentially be opened in the future. If it is checked, the referral will not be brought into the list of selected cases on the Provider or Recipient Case Selection windows when the selected **Select Only One** drop-down value is **Referrals**. In addition, whether the checkbox is checked or not, the referral will still be listed on the Referrals tab of the Case Summary Window.

10. Updating Case Information

10.1 Overview

The Case Summary windows display research information related to a specific Master Log Number or case. Tabs are used to display the different sets of information as they relate to the case. There are a total of five tabs including:

- Case Summary
- Lock-In
- Contract Terminations
- Referrals
- Case File

Each of these tabs are described in the sections that follow.

10.1.1 Case Summary Tab

The Case Summary tab is the main case tab. Different versions of this window have been designed for supervisors and analysts; based on their security clearances. Supervisors have greater access to view and change information than do analysts. As a case moves through different phases the related dates and amounts can be recorded, as well as analyst information and comments. The status of the case is also updated using this window.

To change information on the Case Summary tab, an authorized user follows these steps:

On the SURS main navigation window, click the hyperlink for **Case Summary**:



On the Case Tracking page, select the **Case Summary** tab:

10.1.2 To Search for a Specific Case

The user can search on any field on the Case Summary tab.

1. Click in any field on the Case Summary tab. (This includes the ML# field, although it is grayed out.)
2. Click on the **Search** button.

Result: A search pop-up window appears.

3. Select an operator from the drop-down menu to identify the condition of the search to perform, such as an equal, not equal or like condition on the search criteria.

Example: In the following example, the user is searching by LastName and has selected the 'like' operator as the condition.

4. Enter the search criteria in the text box.

Example: In the example above, the search is for Last Names that contain the letter 'B'

5. Click the **OK** button or press Enter.
6. If more than one case returns from the search, the system displays all the relevant cases with the matching criteria. If only one case matches the search criteria, the user is taken directly to the Case Summary window for that case.
7. If there was more than one case returned from the search, the Case Search Results window displays. Click on the **Master Log Number** hyperlink from the displayed list to gain access to that case.

Case Search Results				
				Item(s): 5
Master Log Number	Provider/Recipient Number	Last Name	First Name	MI
1	999999999999	McDonald, John	John	
3	999999999999	McDonald, John	John	
5	999999999999	McDonald, John	John	
9	999999999999	McDonald, John	John	
12	999999999999	McDonald, John	John	

Result: The Case Summary Tab window for that specific case appears.

The screenshot shows the 'Case Summary' tab of the SUR Case Tracking system. The interface includes a top navigation bar with tabs: Case Summary, Lock-In, Contract Terminations, Referrals, and Case File. The Case Summary tab is selected. The form is divided into several sections:

- Search and Update:** A 'Search' button and an 'Update' button are located at the top right of the Case Summary section.
- Case Information:** Fields for MLE# (with a dropdown), Status (with a dropdown), First / MI, Last Name, Credentials, ID (with a 'Get Info' button), City, Prov Type, Source, Cat Svc, and Spec/Aid.
- Clinical Data Table:** A table with columns for 'Initial', 'URC', 'Informal', and 'Fair Hearing'. Rows include 'Prov Request', 'Supervisor Approval', 'Resp Ltr Sent', 'Resp Ltr Rec'd', 'Requested Amt', 'Prov Request Due', and 'Recoup Due'.
- Financial Data Table:** A table with columns for 'Total Recouped Amt', 'Total Received Amt', 'Final Recouped Amt', 'Recouped Amt', 'Received Amt', 'DMH Share', 'Sent to AR/Adj', and 'Closed Date'.
- Comments:** Two large text areas for 'Analyst Comments' and 'Supervisor Comments', each with a character limit of 3999.

8. Make appropriate changes to the case data.

NOTE:

If data is grayed out that means your security clearance does not authorize you to change it.

9. To save the changes, click the **Update** button. The Update button appears on all Master Log Numbers EXCEPT zero (0). No updates are allowed on the Case Summary tab for Master Log Number 0.

Result: Information is updated on the current tab. Additionally, changes to fields shared among tabs, such as Analyst, Last Name, Comments, and SURS Lock-In dates, are updated on all tabs.

10.1.3 Lock-In Tab

The Lock-in tab displays information related to the recipient's lock-in status for a particular Master Log Number. The user maintains lock-in for a case by using this screen. Since this screen is only used to lock in a recipient to a provider, it is a one to one relationship. All information entered or displayed in the top portion of the window is related to the Case Tracking system only and is not the same lock-in data in the MMIS or DSS Recipient Subsystem. The data displayed in the bottom portion of the window is related to recipient lock-in information found in DSS data warehouse.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File						
<div><div>Master Log Number: <input type="text" value="0"/></div><div>Recipient ID: <input type="text"/></div><div>Recipient Name: <input type="text"/></div><div>Status: <input type="text" value="16 - Closed - Multiple analysts assigned to review"/></div></div> <div><div>Warning Letter: <input type="text"/></div><div>Lock-in From: <input type="text"/></div><div>Lock-in Through: <input type="text"/></div><div>Recipient Review: <input type="text"/></div></div>										
<div>Update</div> <table><thead><tr><th>Provider ID</th><th>Effective Lock-In</th><th>End Lock-In</th></tr></thead><tbody><tr><td colspan="3">No Records Found</td></tr></tbody></table>					Provider ID	Effective Lock-In	End Lock-In	No Records Found		
Provider ID	Effective Lock-In	End Lock-In								
No Records Found										

1. To update the existing Lock-in tab information, update the information in the top portion of the window.
2. Click the **Update** button.

Result: Saved information is displayed on the Lock-in tab and the Case Summary tab. If lock-in information exists in the DSS warehouse, it is displayed in the bottom section of the screen.

10.2 Contract Termination Tab

The Contract Termination Tab lists the provider numbers that have been suspended as a result of the findings of the case. This tab allows the user to enter, change, delete, or just view existing suspended provider information for a particular Master Log Number.

10.2.1 Entering a New Suspended Provider Number

1. To enter new suspended provider information, click the **Add** button from the Contract Termination Tab of the Case Summary window.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File
Master Log Number: <input type="text"/>		First Name: <input type="text"/>		
Provider ID: <input type="text"/>		Middle Initial: <input type="text"/>		
Analyst Name: <input type="text"/>		Last Name: <input type="text"/>		

Provider Name	Provider ID/SVC Loc	Status	Susp/Term Date	Susp/Term Ltr Date
No Records Found				

Result: The Contract Terminations Entry window appears.

Provider ID:

Provider Name:

Provider Status:

Susp/Term Date:

Susp/Term Ltr Date:

2. Enter the **Provider ID**.

3. Click the **Check** button.

Result: The system verifies the Provider ID is valid. If the ID is valid, the system displays the provider's name; otherwise it displays an error message.

4. Enter the remaining information.

5. To add this provider number as a suspended number, click the **Insert** button.

Result: The system documents the number within the SURS Case Tracking system, but it does not actually suspend the provider number. Suspension of the provider number occurs within the interChange panels. The Contract Termination Tab lists the provider numbers that have been suspended as a result of the findings of the case.

10.2.2 Changing a Suspended Provider Number

1. To change existing suspended provider information, click the radio button next to the appropriate provider number to be changed.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File
Master Log Number: <input type="text"/>		First Name: <input type="text"/>		
Provider ID: <input type="text"/>		Middle Initial: <input type="text"/>		
Analyst Name: <input type="text"/>		Last Name: <input type="text"/>		
<input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Delete"/>				

	Provider Name	Provider ID/SVC Loc	Status	Susp/Term Date	Susp/Term Ltr Date
<input type="radio"/>	PrLastName1, First M	9999999999	AA	10/01/2002	10/01/2002
<input type="radio"/>	PrLastName1, First M	9999999999	ZZ	10/00/2002	10/18/2002

2. Click the **Update** button.

Result: The Contract Termination Entry window appears.

3. Change any of the appropriate information.
4. If the Provider ID changes, click the **Check** button.

Result: The system verifies the Provider ID is valid. If the ID is valid, the system displays the provider's name; otherwise it displays an error message.

5. Change any remaining information.
6. To save this information, click the **Update** button.

Result: The system documents the number within the SURS Case Tracking system, but it does not actually suspend the provider number. Suspension of the provider number occurs within the interChange panels. The Contract Termination tab lists the provider numbers that have been suspended as a result of the findings of the case.

10.2.3 Deleting a Suspended Provider Number

1. To delete an existing suspended provider, click the radio button next to the appropriate **Provider Number** to be deleted.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File	
Master Log Number: <input type="text" value="0"/> Provider ID: <input type="text"/> Analyst Name: <input type="text"/>		First Name: <input type="text"/> Middle Initial: <input type="text"/> Last Name: <input type="text"/>			
<input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Delete"/>					
Provider Name		Provider ID/SVC Loc	Status	Susp/Term Date	Susp/Term Ltr Date
<input type="radio"/> PrLastName1, First M		9999999999	AA	10/01/2002	10/01/2002
<input type="radio"/> PrLastName1, First M		9999999999	ZZ	10/00/2002	10/18/2002

2. Click the **Delete** button.

Result: The Contract Terminations Entry window appears as a confirmation to delete the provider number.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File	
Master Log Number: <input type="text" value="78"/> Provider ID: <input type="text"/> Analyst Name: <input type="text" value="ROSS"/>		First Name: <input type="text"/> Middle Initial: <input type="text"/> Last Name: <input type="text"/>			
<input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Delete"/>					
Provider Name		Provider ID/SVC Loc	Status	Susp/Term Date	Susp/Term Ltr Date
<input type="radio"/> PrLastName1, First M		9999999999		12/3/2007	12/31/2007

3. If this is the appropriate provider number to be deleted, then click the **Delete** button.

Result: The contract termination information is deleted from the SURS Case Tracking system, but it does not actually remove the suspension from the provider number. Removal of the suspension of the provider number occurs within the interChange panels. The Contract Terminations tab displays an updated list of suspended providers for this case.

Case Tracking					
Case Summary	Lock-In	Contract Terminations	Referrals	Case File	
Master Log Number: <input type="text" value="78"/> Provider ID: <input type="text"/> Analyst Name: <input type="text" value="ROSS"/>		First Name: <input type="text"/> Middle Initial: <input type="text"/> Last Name: <input type="text"/>			
<input type="button" value="Add"/>					
Provider Name		Provider ID/SVC Loc	Status	Susp/Term Date	Susp/Term Ltr Date
No Records Found					

10.2.4 Viewing a Suspended Provider Number



1. To view existing suspended provider information, click the **Provider Name** hyperlink.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File
Master Log Number: <input type="text"/> Provider ID: <input type="text"/> Analyst Name: <input type="text"/>		First Name: <input type="text"/> Middle Initial: <input type="text"/> Last Name: <input type="text"/>		
<input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Delete"/>				
Contract Terminations				
Provider Name	Provider ID/SVC Loc	Status	Susp/Term Date	Susp/Term Ltr Date
<input type="radio"/> PrLastNm1, First M	9999999999	AA	10/01/2002	10/21/2002
<input type="radio"/> PrLastNm1, First M	9999999999	ZZ	10/00/2002	10/18/2002

Result: The Contract Termination Entry window appears without an Add, Update or Delete button.

2. When finished viewing the provider information, click the **Back To Case Tracking Page** hyperlink to return to the Contract Termination Tab of the Master Log Number last visited.

Result: The Contract Termination Tab from the Case Summary window appears.

Provider ID:	<input type="text"/>	<input type="button" value="Check"/>
Provider Name:	<input type="text"/>	
Provider Status:	<input type="text"/>	
Susp/Term Date:	<input type="text"/>	
Susp/Term Ltr Date:	<input type="text"/>	

10.3 Referrals Tab

The Referrals Tab lists all the referrals associated to a Master Log Number, when a specific Master Log Number is displayed on the Case Summary window from performing a search. The Referrals Tab allows the user to add, change, or delete referral information for a specific case. It can also show referrals that have not been assigned to a case, by doing a search from the Case Summary window for Master Log Number of (zero) 0. The Referrals Tab also allows the user to add new referrals or change or delete data for referrals that have not been assigned to a case.

10.3.1 Entering a New Referral

1. To enter new referral information click the **Add** button from the referral tab.

The screenshot shows the 'Referrals' tab selected in the top navigation bar. Below the navigation bar, there are input fields for 'Master Log Number: 17', 'Provider Name: [redacted]', and 'Analyst Name: HAYGOOD'. Below these fields is an 'Add' button. Below the 'Add' button is a table with the following columns: 'Referral Number', 'Provider/Recipient ID', 'Provider/Recipient Name', 'Received', 'Source', and 'Referral Type'. The table contains one row with the text 'No Records Found'.

Result: The Referrals Entry window appears.

The screenshot shows the 'Referrals Entry' window. It contains several sections: 'Referral Number' and 'Master Log Number: 17' at the top. Below these are checkboxes for 'No Further Action Required' and 'Recipient Referral'. The 'Provider/Recipient Information (* Required Fields)' section includes fields for 'ID', 'First Name', 'Last Name', 'Address', 'City', 'State', 'Zip Code', and 'Phone'. There is a 'Get Info' button next to the 'ID' field. The 'Reviewer Information' section includes fields for 'Reviewed By', 'Entered By', and 'Entry Date'. The 'From Tracking Table' section includes fields for 'Referral Number', 'Provider/Recipient ID', and 'Referral Type'. The 'Referral Information' section includes a large 'Comments' text area with a character count of '4000 Characters Remaining for Comments'. The 'Incoming Referral' section includes fields for 'Received', 'Source', 'Anonymous', and 'Referral Type'. The 'Outgoing Referral (1)' and 'Outgoing Referral (2)' sections each include fields for 'Referred To', 'Date Referred', 'Response Date', and 'Status'. At the bottom left is an 'INSERT' button.

Enter the provider/recipient and referral information into the appropriate fields.

NOTE:

The **No Further Action Required** checkbox for a referral indicates if a case may potentially still be opened in the future. If it is checked, the referral will not be brought into the list of selected cases on the Provider or Recipient Case Selection windows when the selected **Select Only One** drop-down value is **Referrals**. In addition, whether the checkbox is checked or not, the referral will still be listed on the Referrals Tab of the Case Summary Window.

2. Click the **Insert** button to save the information.

Result: The referral information is saved along with an auto-generated referral number to be used to reference this information. After the insert, the Referral Tab from the Case Summary window, with the new referral listed at the bottom appears.

10.3.2 Changing an Existing Referral

1. Click the radio button next to the referral number to change the information. (This is located on the Referrals tab of the Case Summary window.)

Referral Number	Provider/Recipient ID	Provider/Recipient Name	Received	Source	Referral Type
2			9/4/2007	EOMB	PHONE
3			1/1/2007	Standard	WRITTEN
4					
5					

2. Click the **Update** button.

Result: The new referrals entry window appears with the associated referral data displayed.

Referral Number: 13		Master Log Number: 0			
No Further Action Required <input type="checkbox"/>		Recipient Referral <input type="checkbox"/>			
Provider/Recipient Information (* Required Fields)					
* ID: [Text Box] Get Info		Reviewed By: [Dropdown]		From Tracking Table [Text Box]	
First Name: [Text Box]		Entered By: [Dropdown]		[Text Box]	
Last Name: [Text Box]		Entry Date: [Text Box]		[Text Box] [Text Box]	
Address: [Text Box]		Referral Information			
City: [Text Box]		Comments: [Text Area] 3999 Characters Remaining for Comments			
State: [Dropdown]					
Zip Code: [Text Box]					
* Phone: [Text Box]					
Incoming Referral		Outgoing Referral (1)		Outgoing Referral (2)	
Received: [Text Box]		Referred To: [Dropdown]		Referred To: [Dropdown]	
Source: [Dropdown]		Date Referred: [Text Box]		Date Referred: [Text Box]	
Anonymous: [Text Box]		Response Date: [Text Box]		Response Date: [Text Box]	
Referral Type: [Dropdown]		Status: [Text Box]		Status: [Text Box]	
[UPDATE]					

NOTE:

The **No Further Action Required** checkbox for a referral indicates if a case may potentially still be opened in the future. If it is checked, the referral will not be brought into the list of selected cases on the Provider or Recipient Case Selection windows when the selected **Select Only One** drop-down value is **Referrals**. In addition, whether the checkbox is checked or not, the referral will still be listed on the Referrals tab of the Case Summary Window.

3. Change the necessary referral information in the appropriate fields.

Referral Number: 3

Master Log Number: 0

No Further Action Required ☐ Recipient Referral ☐

Provider/Recipient Information (* Required Fields)

* ID: 999999999 [Get Info](#)

First Name: [Text Box]

Last Name: [Text Box]

Address: [Text Box]

City: [Text Box]

State: [Text Box]

Zip Code: [Text Box]

* Phone: [Text Box]

Reviewer Information

Reviewed By: [Dropdown]

Entered By: admin

Entry Date: 1/16/2007

From Tracking Table

[Text Box]

[Text Box]

[Text Box]

Referral Information

Comments: This is a test referral.

3976 Characters Remaining for Comments

Incoming Referral

Received: 1/1/2007

Source: Standard

Anonymous: Y

Referral Type: Written

Outgoing Referral (1)

Referred To: Licensing Board

Date Referred: 1/31/2007

Response Date: 2/6/2007

Status: T

Outgoing Referral (2)

Referred To: [Dropdown]

Date Referred: [Text Box]

Response Date: [Text Box]

Status: [Text Box]

UPDATE

4. Click the **Update** button to save the information.

Result: The referral information is saved and the Referral Tab from the Case Summary window appears.

Case Summary

Lock-In

Contract Terminations

Referrals

Case File

Master Log Number: 0

Provider Name:

Analyst Name:

Add

Update

Delete

Delete Referral

	Referral Number	Provider/Recipient ID	Provider/Recipient Name	Received	Source	Referral Type
<input type="radio"/>	2	999999999999		9/4/2007	EOMB	PHONE
<input type="radio"/>	3	999999999999		1/1/2007	Standard	WRITTEN
<input checked="" type="radio"/>	4	999999999999				
<input type="radio"/>	5	999999999999				

10.3.3 Deleting a Referral

1. To delete an existing referral, click the **radio button** next to the referral to be deleted.

The screenshot shows the 'Referrals' tab in the system. At the top, there are input fields for 'Master Log Number', 'Provider Name', and 'Analyst Name'. Below these are 'Add', 'Update', and 'Delete' buttons. A 'Delete Referral' button is highlighted. Below the buttons is a table with the following data:

	Referral Number	Provider/Recipient ID	Provider/Recipient Name	Received	Source	Referral Type
<input type="radio"/>	2	999999999999	XXXXXXXXXX	9/4/2007	EOMB	PHONE
<input type="radio"/>	3	999999999999	XXXXXXXXXX	1/1/2007	Standard	WRITTEN
<input checked="" type="radio"/>	4	999999999999	XXXXXXXXXX			
<input type="radio"/>	5	999999999999	XXXXXXXXXX			

2. Click the **Delete** button.

Result: The Referrals Entry window appears with the referrals data displayed. The user confirms the deletion of the referral.

3. If this is the correct referral to delete, click the **Delete** button.

Result: The referral information is deleted from the system.

The screenshot shows the 'Referral Information' window. It contains several sections:

- Referral Number:** 4
- Master Log Number:** 0
- No Further Action Required:** ☐ **Recipient Referral:** ☒
- Provider/Recipient Information (* Required Fields):**
 - ID:** **Get Info**
 - First Name:**
 - Last Name:**
 - Address:**
 - City:**
 - State:**
 - Zip Code:**
 - Phone:**
- Reviewer Information:**
 - Reviewed By:**
 - Entered By:**
 - Entry Date:**
- From Tracking Table:**
- Referral Information:**
- Comments:**
- 3999 Characters Remaining for Comments**
- Incoming Referral:**
 - Received:**
 - Source:**
 - Anonymous:**
 - Referral Type:**
- Outgoing Referral (1):**
 - Referred To:**
 - Date Referred:**
 - Response Date:**
 - Status:**
- Outgoing Referral (2):**
 - Referred To:**
 - Date Referred:**
 - Response Date:**
 - Status:**

 At the bottom left, there is a **DELETE** button.

10.3.4 Viewing an existing Referral

1. To view information for an existing referral, click the **Referral Number** hyperlink from the Referrals tab on the Case Summary window.

Referral Number	Provider/Recipient ID	Provider/Recipient Name	Received	Source	Referral Type
2	999999999999		9/4/2007	ECMB	PHONE
3 (Referral Detail)	999999999999		1/1/2007	Standard	WRITTEN
4	999999999999				
5	999999999999				

Result: The Referrals Entry window appears, showing the associated referral data. The window appears without an Add, Update, or Delete button as this is inquiry mode only.

2. When finished viewing the referral, click the **Case Tracking Main Menu** hyperlink to return to the Case Tracking Main Menu.

Result: The Case Tracking Main Menu appears.

Case Tracking

- [Case Summary](#)
- [Referrals List](#)
- [Analyst List](#) *
- [Provider Case Entry](#) *
- [Recipient Case Entry](#) *
- [Consultant / URC Member List](#) *
- [Case Selection Hearing Letters](#) *

* - Denotes Supervisor Only Access.

10.4 Case File Tab

The Case File Tab contains research information the analyst has associated with the Master Log Number during the review of the case. This tab makes up what is referred to as the electronic Case File. Each of the sections can contain documents, spreadsheets, scanned images, etc. depending on the research completed by the analyst.

The names of the sections as well as the names of the documents, within the sections for a particular case, are determined by the analyst. This is controlled by the names of the sub-directories and file names that are created and saved under each case number directory.

After displaying the Case File tab windows, the sections below describes how to save a document to the electronic case file to be displayed on the Case File tabs.

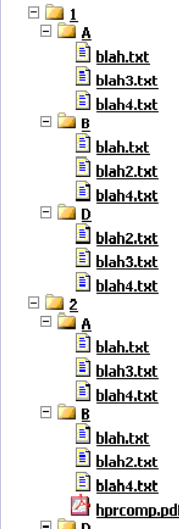
Case Summary	Lock-In	Contract Terminations	Referrals	Case File
<p>Alabama Medicaid Agency Surveillance Utilization Review Subsystem (SURS) Index</p> <p>Auditee: <input type="text"/></p> <p>Provider./Client ID: <input type="text"/> Master Log Number: <input type="text"/></p> <p>Report Date: <input type="text"/></p>				<p>Supervisor Approval Dates</p> <p>Recoup Ltr: <input type="text"/></p> <p>URC: <input type="text"/></p> <p>Informal: <input type="text"/></p> <p>Fair Hearing: <input type="text"/></p> <p>Date Closed: <input type="text"/></p>
<p>Work Paper File</p> <ul style="list-style-type: none"> 1 <ul style="list-style-type: none"> A <ul style="list-style-type: none"> blah.txt blah3.txt blah4.txt B <ul style="list-style-type: none"> blah.txt blah2.txt blah4.txt D <ul style="list-style-type: none"> blah2.txt blah3.txt blah4.txt 2 <ul style="list-style-type: none"> A <ul style="list-style-type: none"> blah.txt blah3.txt blah4.txt B <ul style="list-style-type: none"> blah.txt blah2.txt blah4.txt hprcomp.pdf D 				

10.4.1 Saving Case File Documents

To save a document to the case file, use the following steps:

1. Open the case file.
2. Click **Save As** or **Copy**.
3. Navigate through Windows Explorer to the appropriate Master Log Number and case file folder on the server. To do this, click on the drive that is mapped to the server within the users Windows Explorer window. Then, scroll down until the appropriate Master Log Number is found. Expand the folders under that Master Log Number and click on the case file folder or one of its subfolders to which the user wants to save the document.
4. **Save** or **Paste** the document into the appropriate folder.
5. Refresh the Windows Explorer window.
6. Refresh the appropriate SURS Case Tracking Case File tab window where the document was saved.

Result: The hyperlink appears on the appropriate Case File tab.

Case Summary	Lock-In	Contract Terminations	Referrals	Case File
<p>Alabama Medicaid Agency Surveillance Utilization Review Subsystem (SURS) Index</p> <p>Auditee: <input type="text"/></p> <p>Provider/Client ID: <input type="text"/> Master Log Number: <input type="text" value="0"/></p> <p>Report Date: <input type="text" value="1/1/2000"/></p>				<p>Supervisor Approval Dates</p> <p>Recoup Ltr: <input type="text" value="1/1/2000"/></p> <p>URC: <input type="text" value="1/1/2000"/></p> <p>Informal: <input type="text" value="1/1/2000"/></p> <p>Fair Hearing: <input type="text" value="1/1/2000"/></p> <p>Date Closed: <input type="text" value="1/1/2000"/></p>
<p>Work Paper File</p> 				

11. Case Selection Hearing Letters

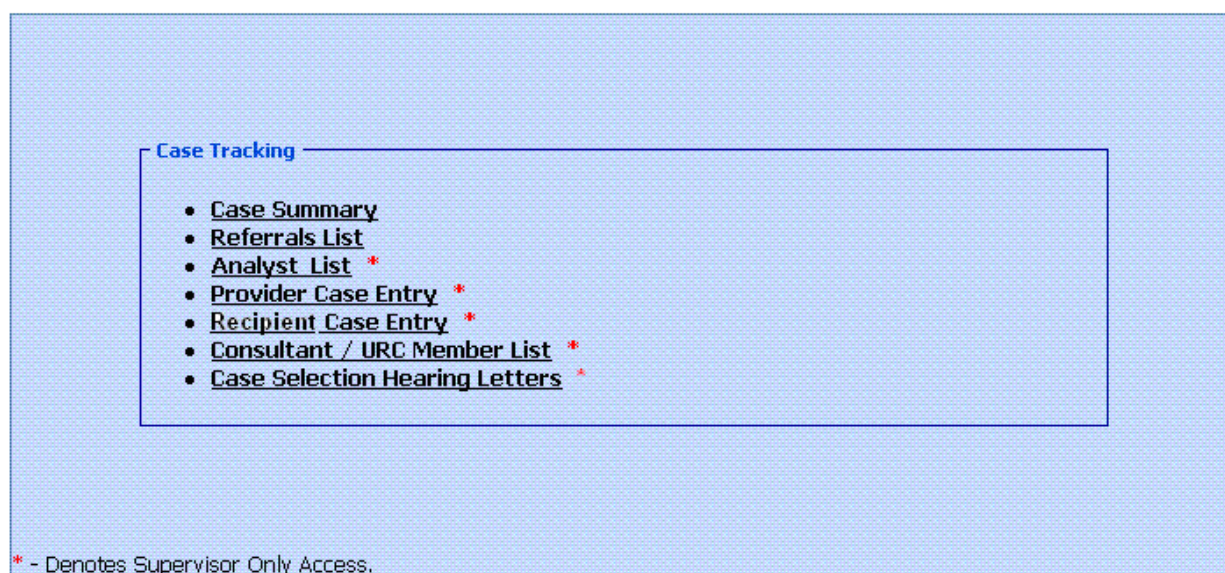
11.1 Overview

The purpose of this window is to generate letters to all the URC members for each case ready for a URC review. The letters state which providers are being taken before the URC for approval of recommendations by the analyst. The letters also state that correspondence is enclosed with the letter for their review.

11.1.1 URC Notification Letter List

The Case Selection Hearing Letters window lists all cases that have a URC supervisor approval date on the Case Summary window.

1. On the SURS main navigation window, click the hyperlink for **Case Selection for Hearing Letters**:



2. Click on the box to the left of the **Master Log Number** to generate letters for all URC members regarding cases coming up for review.

Select All Cases

Clear All Cases

Generate Letters

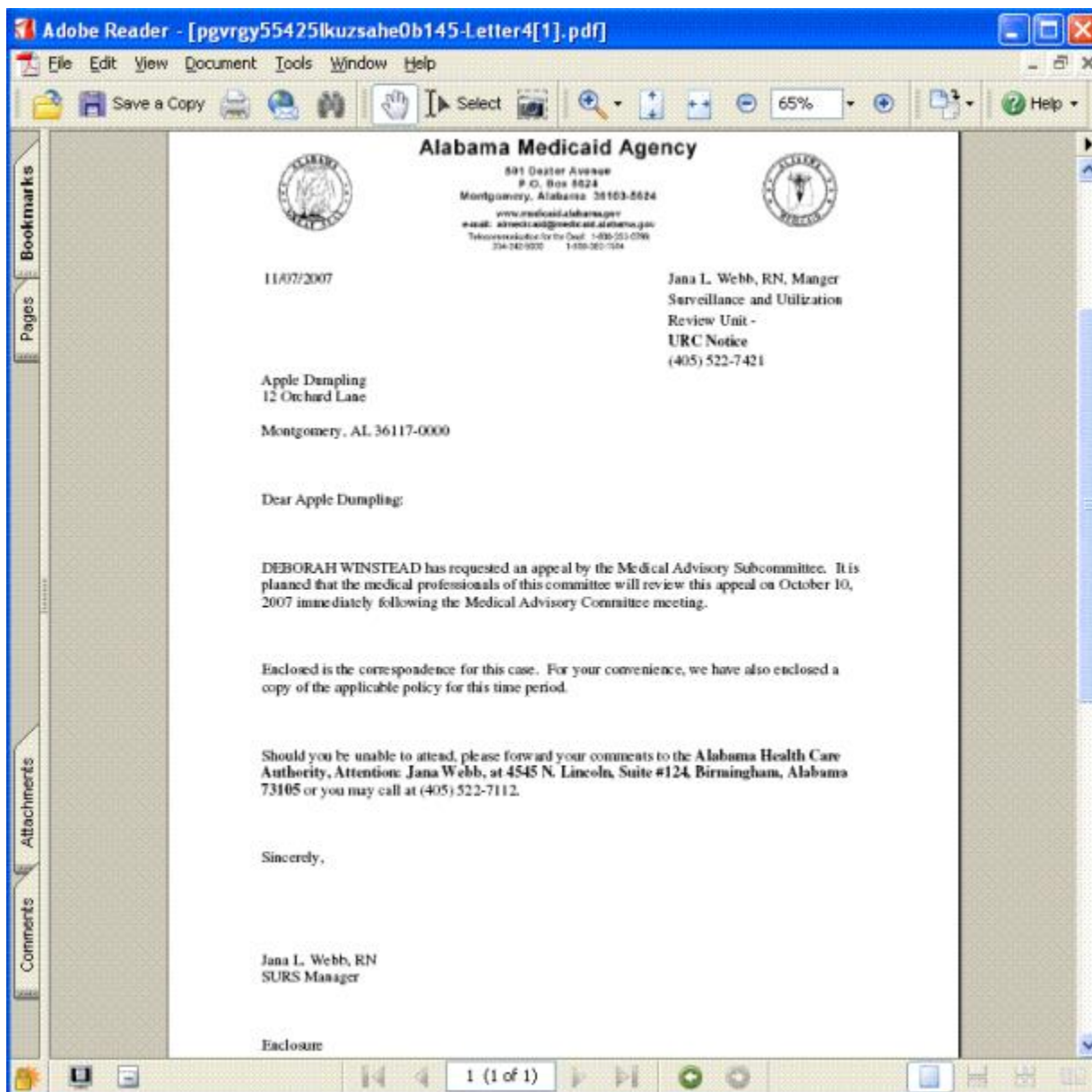
Selected Cases	Master Log Number	URC Supervisor Approval Date	Analyst Last Name
<input type="checkbox"/>	6	10/10/2007	KANG
<input type="checkbox"/>	17	10/10/2007	HAYGOOD

NOTE:

Users can click the Select All Cases button to check the boxes next to all listed cases. Users can also click the Clear All Cases button to uncheck the boxes next to all cases.

3. Click the **Generate Letters** button.

Result: A PDF window is displayed with the URC letter addressed to the URC member. Select the **printer icon** in the menu bar at the top to print the letter on the local printer.



12. Case Tracking Reports

The SUR Case Tracking User Manual provides the following information for each report:

Narrative: Provides a brief description of the report functionality and usage.

Layout: Provides a representation of the report and details the exact placement and format of the field names, values and heading information.

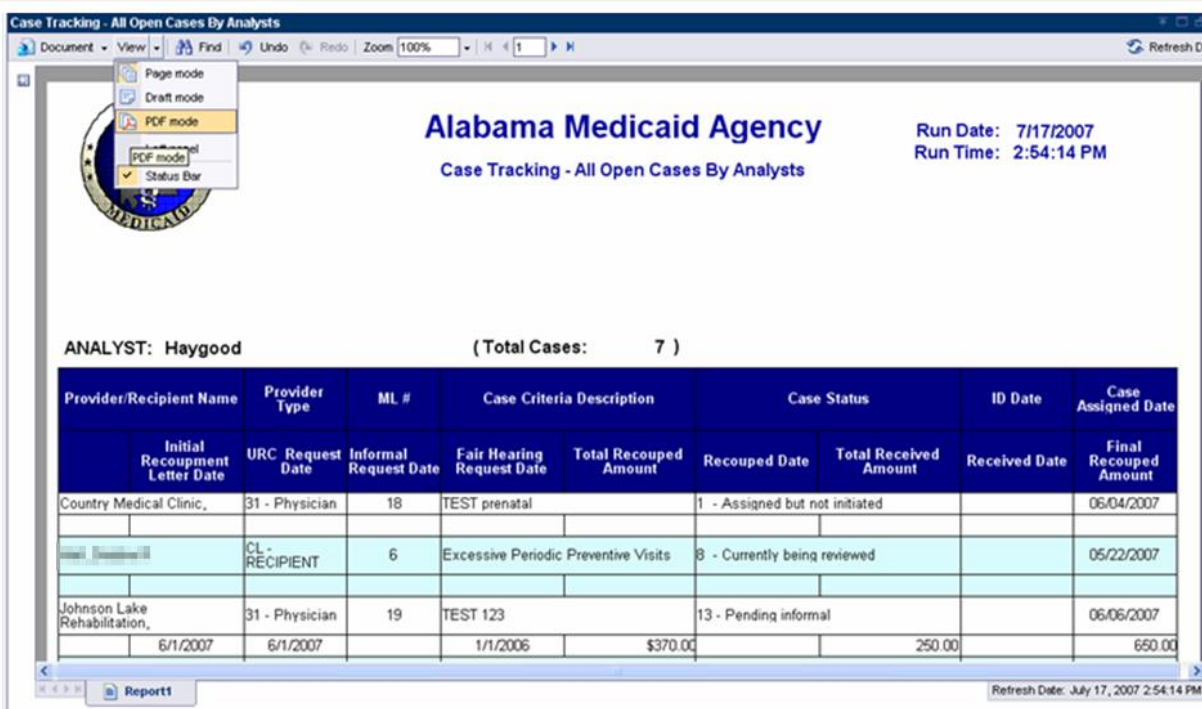
Field Descriptions: Lists the fields included on the report, with a definition of each field.

12.1 Printing Reports

All reports may be printed from DSSNavigator window by using PDF function. The report will print to the local printer.

Step 1: Select **View** from the drop down menu bar.

Step 2: Select **PDF mode**.



Case Tracking - All Open Cases By Analysts

Alabama Medicaid Agency

Case Tracking - All Open Cases By Analysts

Run Date: 7/17/2007
Run Time: 2:54:14 PM

ANALYST: Haygood (Total Cases: 7)

Provider/Recipient Name	Provider Type	ML #	Case Criteria Description	Case Status	ID Date	Case Assigned Date
Country Medical Clinic,	31 - Physician	18	TEST prenatal	1 - Assigned but not initiated		06/04/2007
	CL - RECIPIENT	6	Excessive Periodic Preventive Visits	8 - Currently being reviewed		05/22/2007
Johnson Lake Rehabilitation,	31 - Physician	19	TEST 123	13 - Pending informal		06/06/2007
			1/1/2006	\$370.00	250.00	650.00

Report1 Refresh Date: July 17, 2007 2:54:14 PM

Step 3: Click the **printer icon** on the PDF menu bar. Results: Report is displayed in PDF format.

Alabama Medicaid Agency
Case Tracking - All Open Cases By Analysts

Run Date: 7/17/2007
Run Time: 2:54:14 PM

ANALYST: Haygood (Total Cases: 7)

Provider/Recipient Name	Provider Type	ML #	Case Criteria Description	Case Status	ID Date	Case Assigned Date
Country Medical Clinic	31 - Physician	18	TEST prenatal	1 - Assigned but not initiated		05/04/2007
CL - RECIPIENT		6	Excessive Periodic Preventive Visits	6 - Currently being reviewed		05/22/2007
Johnson Lake Rehabilitation	31 - Physician	19	TEST 123	13 - Pending informal		05/06/2007
Johnson Lake Rehabilitation	31 - Physician	27	MEL TEST 2	1 - Assigned but not initiated		05/06/2007
Kingaly Family Med.	31 - Physician	33	MEL TEST 2ND DAY	1 - Assigned but not initiated		05/07/2007
CL - RECIPIENT		9	TEST Excessive Outpatient Care	25 - Client on lockin program - physician and pharmacy		05/14/2007
Valley Family Planning	31 - Physician	23	Mei testing assignment request	1 - Assigned but not initiated		05/06/2007

DSSProfiler Case Tracking - All Open Cases By Analysts.rep Page 1 of 5

12.2 Case Tracking – All Cases

The Case Tracking - All Cases report is generated through Business Objects. This report displays all cases in provider/recipient name order.

12.2.1 Case Tracking – All Cases Layout

The logo of the Alabama Medicaid Agency, featuring a circular seal with a blue background and gold border. Inside the seal is a white caduceus (a staff with two snakes entwined and wings at the top) over a blue 'M'. The word 'ALABAMA' is at the top and 'MEDICAID' is at the bottom of the seal.

Alabama Medicaid Agency

Run Date: 9/18/2006

Run Time: 3:55:11 PM

Case Tracking - All Cases

Sorted by Provider/Recipient Name

Total Cases: 5

ML #	Provider/Recipient Name	Prov/Recipient ID	Analyst	Case Assigned Date	Referred to Supervisor Date	Case Closed Date	Final Recouped Amt
1	Paul, John J.	999999999999	001	07/19/2006			
5	Paul, John J.	999999999999	003	08/09/2006			
3	Paul, John J.	999999999999	004	08/04/2006	08/04/2006		\$3,000.00
2	Paul, John J.	999999999999	003	08/04/2006			
4	Paul, John J.	999999999999	004	08/09/2006			

End of Report

12.2.2 Case Tracking – All Cases Field Descriptions

Field	Description	Length	Data Type
Analyst	The identification of the analyst working the case.	3	Character
Case Assigned Date	Date the case was assigned to the analyst.	10	Date (MM/DD/CCYY)
Case Closed Date	Date the case was closed.	10	Date (MM/DD/CCYY)
Final Recouped Amt	The final recouped amount, as entered by the user on the Case Summary screen.	11	Number (Decimal)
ML#	Master Log Number is a unique system assigned identifier for a case.	5	Number (Integer)
Provider/Recipient Name	Name of the provider or recipient related to the case.	25	Character
Prov/Recipient ID	Identification number for the provider or recipient related to the case.	9	Character
Referred To Supervisor Date	Date the case was referred to the supervisor.	10	Date (MM/DD/CCYY)
Total Cases	Total number of cases shown on the report.	3	Number (Integer)

12.3 Case Tracking - All Open Cases By Analysts

The Case Tracking - All Open Cases By Analysts report is created in Business Objects. This report shows all cases that are currently open for each analyst selected in the report prompt.

12.3.1 Case Tracking – All Open Cases By Analysts Layout



Alabama Medicaid Agency Case Tracking - All Open Cases By Analysts

Run Date: 6/6/2007
Run Time: 3:14:02 PM

ANALYST: Amrutha

(Total Cases: 1)

Provider/Recipient Name		Provider Type	ML #	Case Criteria Description		Case Status		ID Date	Case Assigned Date
Initial Recoupment Letter Date	URC Request Date	Informal Request Date	Fair Hearing Request Date	Total Recouped Amount	Recouped Date	Total Received Amount	Received Date	Final Recouped Amount	
	CL - RECIPIENT	1	BLAH		2 - Pending receipt of claims detail			03/30/2007	
5/10/2007									

ANALYST: Haygood

(Total Cases: 4)

Provider/Recipient Name		Provider Type	ML #	Case Criteria Description		Case Status		ID Date	Case Assigned Date
Initial Recoupment Letter Date	URC Request Date	Informal Request Date	Fair Hearing Request Date	Total Recouped Amount	Recouped Date	Total Received Amount	Received Date	Final Recouped Amount	
	CL - RECIPIENT	12	blah		5 - Medical records requested		05/04/2007	05/01/2007	
5/5/2007									
	CL - RECIPIENT	13	blah		2 - Pending receipt of claims detail		06/04/2007	06/01/2007	
6/4/2007				\$200.50		0.00		200.50	

12.3.2 Case Tracking – All Open Cases By Analysts Field Descriptions


Field	Description	Length	Data Type
Analyst	Name of the analyst with open cases.	50	Character
Case Assigned Date	Date the case was assigned to the analyst.	10	Date (MM/DD/CCYY)
Case Status	Current status of the case.	30	Character
Fair Hearing Request Date	Date the fair hearing was requested by the provider.	10	Date (MM/DD/CCYY)
Final Recouped Amount	The final recouped amount, as entered by the user on the Case Summary screen.	11	Number (Decimal)
ID Date	Date the analyst initiated the case.	10	Date (MM/DD/CCYY)
Informal Request Date	Date the informal hearing was requested by the provider.	10	Date (MM/DD/CCYY)
Initial Recoupment Letter Date	Date the letter of initial recoupment was sent.	10	Date (MM/DD/CCYY)
ML #	Master Log Number is a unique system assigned number identifier for a case.	5	Number (Integer)

Field	Description	Length	Data Type
Case Criteria Description	Description of the case.	30	Character
Provider/Recipient Name	Name of the provider or recipient related to the case.	30	Character
Provider Type	Provider type for the provider identification number.	3	Character
Received Date	Date of the last recouped amount received by the agency.	10	Date (MM/DD/CCYY)
Recouped Date	Date of the last recouped amount from the system checkwrite.	10	Date (MM/DD/CCYY)
Total Cases	Total number of cases shown on the report.	3	Number (Integer)
Total Received Amount	System generated, total recouped amount received by the agency.	11	Number (Decimal)
Total Recouped Amount	System generated, total recouped amount from system checkwrite.	11	Number (Decimal)
URC Request Date	Date URC was requested by the provider.	10	Date (MM/DD/CCYY)

12.4 Case Tracking – Cases on Hold

The Case Tracking - Cases On Hold report is created in Business Objects and shows all the cases with the status of 'on hold'. This report shows basic information related to the case on hold and more detail information related to recon dates and amounts.

12.4.1 Case Tracking – Cases on Hold Layout

		Alabama Medicaid Agency				Run Date: 6/7/2007			
		Case Tracking - Cases On Hold				Run Time: 7:14:30 PM			
		Total Cases: 3							
Provider/Recipient Name	Prov/Recipient ID	ML #	Analyst	Initial Recoup Letter Date	Initial Recoup Amt Requested	URC Request Date	URC Response Date	Informal Request Date	Informal Response Date
Analyst Comments	Fair Hearing Request Date	Fair Response Date	Total Recouped Amount	Total Final Recouped Amount	Date Closed	Supervisor Comments			
Setting up test	01/02/1900	4		04/15/2007	\$3,025.00				
	05/05/2007	6		05/05/2007		05/20/2007			
		8		05/07/2007				05/15/2007	

12.4.2 Case Tracking – Cases on Hold Field Descriptions

Field	Description	Length	Data Type
Analyst	The identification of the analyst working the case.	3	Character
Analyst Comments	Comments related to the case.	4000	Character
Date Closed	Date the case was closed.	10	Date (MM/DD/CCYY)
Fair Hear Response Date	Due date for fair hearing request from provider.	10	Date (MM/DD/CCYY)
Fair Hearing Request Date	Date for fair hearing request from provider.	10	Date (MM/DD/CCYY)
Informal Request Date	Due date for informal request from provider.	10	Date (MM/DD/CCYY)
Informal Response Date	Date for informal request from provider.	10	Date (MM/DD/CCYY)
Initial Recoup Amt Requested	Requested amount for the initial recoupment.	11	Number (Decimal)
Initial Recoup Letter Date	Date the initial recoupment letter was sent.	10	Date (MM/DD/CCYY)
ML #	Master Log Number is a unique system assigned identifier for a case.	5	Number (Integer)
Prov/Recipient ID	The identification number of the provider	9	Character

Field	Description	Length	Data Type
	or recipient.		
Provider/Recipient Name	The full name of the provider or recipient.	25	Character
Supervisor Comments	Supervisor comments related to the case.	4000	Character
Total Cases	Total number of cases shown on the report.	3	Number (Integer)
Total Final Recouped Amount	The final recouped amount, as entered by the user on the Case Summary screen.	11	Number (Decimal)
Total Recouped Amount	System generated, total recouped amount from system checkwrite.	11	Number (Decimal)
URC Request Date	Date for URC request from provider.	10	Date (MM/DD/CCYY)
URC Response Date	Due date for URC request from provider.	10	Date (MM/DD/CCYY)

12.5 Case Tracking - Contract Suspensions

The Case Tracking - Contract Suspensions report is created in Business Objects. This report shows a list of providers that have been suspended for the termination/suspension date on the report or greater entered at the prompt.

12.5.1 Case Tracking - Contract Suspensions Layout



Alabama Medicaid Agency

Case Tracking - Contract Suspensions

Contract Termination/Suspension Date On Or After: 12/31/2006

Run Date: 6/7/2007

Run Time: 6:47:02 PM

Case Tracking Provider Name:

Master Log Number: 16

Provider ID	Provider Name	Contract Termination/Suspension Letter Date
00000000		06/29/2007

End of Report

12.5.2 Case Tracking - Contract Suspensions Field Descriptions

Field	Description	Length	Data Type
Case Tracking Provider Name	Name of the provider associated with the contract suspension.	30	Character
Contract Termination/Suspension Date On Or After	The contract termination/suspension date based on what the user provided at the prompt.	10	Date (MM/DD/CCYY)
Contract Termination/Suspension Letter Date	Date the provider was suspended.	10	Date (MM/DD/CCYY)
Master Log Number	Master Log Number is a unique system assigned number identifier for a case.	5	Number (Integer)
Provider ID	The provider's identification number.	9	Character
Provider Name	The provider's full name.	25	Character

12.6 Case Tracking - Open Closed Cases

The Case Tracking - Open Closed Cases report is created in Business Objects. This report has two tabs, one for open cases and one for closed cases within the entered date range.

12.6.1 Case Tracking - Open Cases Layout

Alabama Medicaid Agency


Case Tracking - Open Cases: 10/01/2003 - 09/30/2004

Run Date: 1/11/2007

Run Time: 3:03:11 PM

ML #	Prov/Recipient Name	Case Status	Source	ID Date	Referred to Supervisor Date	Case Assigned Date	Initial Recoup Amt Requested	URC Recoup Amt Requested	Informal Recoup Amt Requested
						Fair Hearing Recoup Amt Requested	Total Recouped Amount	Total Received Amount	Final Recouped Amount
1		16 - Closed # Multiple analysts assigned to review	MANUAL	01/01/2006	01/02/2006	07/19/2006	\$5.00	\$4.00	\$3.00
						\$2.00	\$6.00	\$3.00	\$100.00
2		1 - Assigned but not initiated	MANUAL	08/03/2006	08/02/2006	08/04/2006		\$1.00	
3		1 - Assigned but not initiated	MANUAL	08/04/2006	08/04/2006	08/04/2006	\$2,200.00		
							\$2,900.00		\$3,000.00
4		1 - Assigned but not initiated	MANUAL			08/09/2006			

12.6.2 Case Tracking – Closed Cases Layout

		Alabama Medicaid Agency				Run Date: 6/6/2007 Run Time: 5:35:17 PM			
		Case Tracking - Closed Cases: 10/01/2006 - 09/30/2007							
ML#	Prov/Recipient Name	Case Status		Source	Case Assigned Date	Referred to Supervisor Date	Closed Date	Initial Recoup Amt Requested	
	Physical File Location	URC Recoup Amt Requested	Informal Recoup Amt Requested	Fair Hear Recoup Amt Requested	Total Recouped Amt	Total Received Amt	Final Recouped Amt		
3		17 - Closed		MANUAL			06/06/2007		
14		17 - Closed		MANUAL	05/15/2007 \$2,300.00	\$0.00	06/05/2007 \$2,300.00	\$2,300.00	

End of Report

12.6.3 Case Tracking - Open Closed Cases Field Descriptions

Field	Description	Length	Data Type
Case Assigned Date	Date the case was assigned to analyst.	10	Date (MM/DD/CCYY)
Case Status	Current status of the case.	30	Character
Case Tracking-Closed Cases	The closed cases date range based on what the user provided at the prompt.	20	Date (MM/DD/CCYY)
Closed Date (Closed Cases)	Date the case was closed.	10	Date (MM/DD/CCYY)
Fair Hearing Recoup Amt Requested	Recoupment amount requested for fair hearing.	11	Number (Decimal)
Final Recouped	The final recouped amount, as entered by the	11	Number (Decimal)

Field	Description	Length	Data Type
Amount	user on the Case Summary screen.		
ID Date (Open Cases)	Date the analyst initiated the case.	10	Date (MM/DD/CCYY)
Informal Recoup Amt Requested	Informal recoupment amount requested.	11	Number (Decimal)
Initial Recoup Amt Requested	Amount requested for the initial recoupment.	11	Number (Decimal)
ML #	Master Log Number is a unique system assigned number identifier for a case.	5	Number (Integer)
Physical File Location (Closed Cases)	Location of the physical files associated with the case.	30	Character
Prov/Recipient Name	The full name of the provider or recipient.	25	Character
Referred to Supervisor Date	Date the case was referred to a supervisor.	10	Date (MM/DD/CCYY)
Source	Source of the case.	100	Character
Total Received Amount	System generated, total recouped amount received by the Agency.	11	Number (Decimal)
Total Recouped Amount	System generated, total recouped amount from system checkwrite.	11	Number (Decimal)
URC Recoup Amt Requested	Recoupment amount requested for URC.	11	Number (Decimal)

12.7 Case Tracking - Open Cases In Work

The Case Tracking - Open Cases In Work report is created in Business Objects. This report shows all open cases that are being worked in analyst order. Cases with an assigned date and no closed date are shown on the report.

12.7.1 Case Tracking - Open Cases In Work Layout



Alabama Medicaid Agency

Case Tracking - Open Cases In Work

(cases that have an assigned date with no closed date)

Run Date: 6/6/2007
Run Time: 2:48:57 PM

ANALYST: Allison

Prov/Recipient Name	ML#	Case Status		Provider Type	Initial Amount	Total Number of Claims Reviewed	Total Paid in Sample Amount	Sample Size Number	Total Number of Claims
Total Paid Amt	Tot Recip	Total Recouped Amt	Total Received Amt	Final Recouped Amt	Comments				
	18	8 - Currently being reviewed		CL - RECIPIENT	\$5,135.33	250	\$225.00	500	
7,532.54	35.00								
	19	2 - Pending receipt of claims detail		CL - RECIPIENT	\$3,211.22				

ANALYST: Amrutha

Prov/Recipient Name	ML#	Case Status		Provider Type	Initial Amount	Total Number of Claims Reviewed	Total Paid in Sample Amount	Sample Size Number	Total Number of Claims
Total Paid Amt	Tot Recip	Total Recouped Amt	Total Received Amt	Final Recouped Amt	Comments				
	1	2 - Pending receipt of claims detail		CL - RECIPIENT	\$500.00	100	\$50.00	100	1000
700.00	300.00								

12.7.2 Case Tracking - Open Cases In Work Field Descriptions

Field	Description	Length	Data Type
Analyst	Identification of the analyst associated with the case.	3	Character
Case Status	Current status of the case.	30	Character
Comments	Comments related to the case.	4000	Character
Final Recouped Amt	The final recouped amount, as entered by the user on the Case Summary screen.	11	Number (Decimal)
Initial Recoup Amount Requested	The initial recoupment amount requested.	11	Number (Decimal)
ML#	Master Log Number is a unique system assigned number identifier for a case.	5	Number (Integer)
Number Claims Reviewed	Number of claims reviewed.	4	Number (Integer)
Prov/Recipient Name	Name of the provider or recipient related to the case.	30	Character
Provider Type	Provider type for the provider.	3	Character
Sample Size Number	Sample size of claims reviewed.	5	Number (Integer)

Field	Description	Length	Data Type
Tot Recip	Total number of recipients.	5	Number (Integer)
Total Number of Claims	Total number of claims.	5	Number (Integer)
Total Paid Amt	Total paid amount.	11	Number (Decimal)
Total Paid in Sample	Total paid amount for claims in the sample.	11	Number (Decimal)
Total Received Amt	System generated, total recouped amount received by the agency.	11	Number (Decimal)
Total Recouped Amt	System generated, total recouped amount from system checkwrite.	11	Number (Decimal)

12.8 Case Tracking - Purge List

The Case Tracking - Purge List report is created in Business Objects. This report has two tabs showing a list of cases to be purged this month (based on dates entered at prompt) and showing a list of cases to be purged next month (based on dates entered at the prompt).

12.8.1 Case Tracking - Purge List Layout



Alabama Medicaid Agency
Case Tracking
Case Purge List for This Month: 05/01/2007 - 05/31/2007

Run Date: 6/7/2007
Run Time: 4:59:41 PM

ML #	Provider/Recipient Name	Case Status	Case Closed Date	Sent to AR/Adj	Recouped Date	Analyst Name	Final Recouped Amt
2		16 - Closed - Multiple analysts assigned to review	05/04/2001				
15		17 - Closed	05/15/2001				

End of Report



Alabama Medicaid Agency
Case Tracking
Case Purge List for Next Month: 06/01/2007 - 06/30/2007

Run Date: 6/7/2007
Run Time: 4:59:43 PM

ML #	Provider/Recipient Name	Case Status	Case Closed Date	Sent to AR/Adj	Recouped Date	Analyst Name	Final Recoup Amt
16		17 - Closed	06/23/2001				
17		16 - Closed - Multiple analysts assigned to review	06/17/2001				

End of Report

12.8.2 Case Tracking - Purge List Field Descriptions

Field	Description	Length	Data Type
Analyst Name	Identification of the analyst associated with the case.	3	Character
Case Closed Date	Date the case was closed.	10	Date (MM/DD/CCYY)
Case Status	Current status of the case.	30	Character
Final Recouped Amt	The final recouped amount, as entered by the user on the Case Summary screen.	11	Number (Decimal)
ML #	Master Log Number is a unique system assigned number identifier for a case.	5	Number (Integer)
Provider/Recipient Name	Name of the provider or recipient related to the case.	30	Character

Field	Description	Length	Data Type
Recouped Date	Date of last recouped amount from system checkwrite.	10	Date (MM/DD/CCYY)
Sent To AR/Adj	Date sent to adjustments.	10	Date (MM/DD/CCYY)

12.9 Case Tracking – Recipient Lock-In For Open Cases

The Case Tracking – Recipient Lock-In For Open Cases report is created in Business Objects. This report shows a list of lockin recipients, along with lockin dates, for cases currently open.

12.9.1 Case Tracking – Recipient Lock-In For Open Cases Layout



Alabama Medicaid Agency Recipient Lock-In For Open Cases Total Cases: 19

Run Date: 10/31/200

Run Time: 9:59:58 AM

Master Log Number	Recipient Name	Recipient ID	Case Status	Source	Analyst
Recipient Lock-In Effective Date	Recipient Lock-In End Date	Provider ID	Lock-In Provider Name	Referral Received	Warning Letter Sent
1	Williams, William J.	999999999999	1 - Assigned but not initiated	MANUAL	Kang
2	Williams, William J.	999999999999	1 - Assigned but not initiated	MANUAL	Kelly
3	Williams, William J.	999999999999	1 - Assigned but not initiated	MANUAL	Ross
4	Williams, William J.	999999999999	1 - Assigned but not initiated	MANUAL	Haygood
5	Williams, William J.	999999999999	26 - Client on lockin program - physician and pharmacy	MANUAL	Kang
6	Williams, William J.	999999999999	11 - Pending with SURS Supervisor	MANUAL	Kang
05/14/1997	12/31/2299	7191	MEDICAL CENTER PHARMACY		
7	Williams, William J.	999999999999	1 - Assigned but not initiated	MANUAL	Kelly
12/26/1996	12/31/2299	6969	CVS DRUG STORE# 4830		

12.9.2 Case Tracking – Recipient Lock-In For Open Cases Field Descriptions

Field	Description	Length	Data Type
Analyst	The analyst ID associated with the case.	3	Character
Case Status	Current status of the case.	30	Character
Lock-In Provider Name	The name of the lock-in provider.	25	Character
Master Log Number	Master Log Number is a unique system assigned number identifier for a case.	5	Number (Integer)
Provider ID	The provider identifier the Recipient is locked into.	25	Character
Recipient ID	The recipient's ID.	13	Character
Recipient Lock-In Effective Date	The effective date of the lock-in period.	10	Date (MM/DD/CCYY)
Recipient Lock-In	The end date of the lock-in period.	10	Date (MM/DD/CCYY)

Field	Description	Length	Data Type
End Date			
Recipient Name	The recipient's full name.	25	Character
Referral Received	Date the referral was received.	10	Date (MM/DD/CCYY)
Source	The source of the case – manual or referral.	15	Character
Total Cases	Total number of open cases for lock-in recipients.	5	Number(Integer)
Warning Letter Sent	Indicator showing if a warning letter has been sent.	1	Character